

1c960 U.S. PTO  
06/22/01

06-25-01

A

PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

June 22, 2001

Re: Application for Patent of  
Inventor(s) : Robert C. Newman Jr.,  
Stuart DeJonge, Mark  
Taipale, Dominick  
Travaglini, Joel S. Spira  
Title : ELECTRONIC BALLAST  
Assignee : Lutron Electronics Co., Inc.  
Our Docket : P99-16

"Express Mail" mailing label number: EK156592899US

Date of Deposit: June 22, 2001

I hereby certify that this paper or fee is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 on the date indicated above and is addressed to the Assistant Commissioner for Patents, Washington, D.C. 20231.

Rita M. Shovlin

(Typed or printed name of person mailing paper or fee.)

Rita M. Shovlin  
(Signature of person mailing paper or fee.)

BOX PATENT APPLICATION  
Assistant Commissioner for Patents  
Washington, D.C. 20231

Sir:

Enclosed are the following papers:

- ☒ Specification, abstract, and claims, 35 pages total.
- ☒ Drawings 26 sheets.
- ☒ Declaration and Power of Attorney.

A claim for priority under 35 USC 119 is hereby made with respect to \_\_\_\_\_ application no. \_\_\_\_\_ filed \_\_\_\_\_. A certified copy of that application \_\_\_\_\_ is enclosed/ \_\_\_\_\_ will be filed later.

The Commissioner is authorized to charge to Deposit Account No. 122421 the fee in the amount of \$ 710.00, which is calculated according to the enclosed Patent

- ☒ Application Fee Determination Record PTO/SB/06.
- The Commissioner is authorized to charge any additional fees under 37 CFR 1.16 and 1.17 that may be required by this paper, or to credit any overpayment, to
- ☒ Deposit Account No. 122421. Two copies of this request are enclosed.

Respectfully Submitted,  
Lutron Electronics Company, Inc.

By Mark E. Rose  
Mark E. Rose  
Reg. No. 42,113

J1017 U.S. PTO  
09/887848  
06/22/01

09887848-062201

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

**FEE TRANSMITTAL  
for FY 2001**

Patent fees are subject to annual revision.

TOTAL AMOUNT OF PAYMENT (\$ ) 1,638.00

**Complete if Known**

Application Number	
Filing Date	June 22, 2001
First Named Inventor	Robert C. Newman, Jr.
Examiner Name	
Group Art Unit	
Attorney Docket No.	P99-16

**METHOD OF PAYMENT**

- 1.
- ☒
- The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:

Deposit Account Number	122421
Deposit Account Name	Lutron Electronics Co. Inc.

- ☒
- Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17

☐ Applicant claims small entity status. See 37 CFR 1.27

- 2.
- ☐
- Payment Enclosed:

☐ Check ☐ Credit card ☐ Money Order ☐ Other**FEE CALCULATION****1. BASIC FILING FEE**

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description	Fee Paid
101 710	201 355	Utility filing fee	710
106 320	206 160	Design filing fee	
107 490	207 245	Plant filing fee	
108 710	208 355	Reissue filing fee	
114 150	214 75	Provisional filing fee	
<b>SUBTOTAL (1)</b>			<b>(\$ ) 710</b>

**2. EXTRA CLAIM FEES**

Total Claims	Extra Claims	Fee from below	Fee Paid
36	-20** = 16	x 18 =	288
11	-3** = 8	x 80 =	640

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description
103 18	203 9	Claims in excess of 20
102 80	202 40	Independent claims in excess of 3
104 270	204 135	Multiple dependent claim, if not paid
109 80	209 40	** Reissue independent claims over original patent
110 18	210 9	** Reissue claims in excess of 20 and over original patent
<b>SUBTOTAL (2)</b>		

(\$ ) 928

\*or number previously paid, if greater; For Reissues, see above

**FEE CALCULATION (continued)****3. ADDITIONAL FEES**

Fee Code	Large Entity Fee (\$)	Small Entity Fee (\$)	Fee Description	Fee Paid
105 130	205 65	Surcharge - late filing fee or oath		
127 50	227 25	Surcharge - late provisional filing fee or cover sheet		
139 130	139 130	Non-English specification		
147 2,520	147 2,520	For filing a request for ex parte reexamination		
112 920*	112 920*	Requesting publication of SIR prior to Examiner action		
113 1,840*	113 1,840*	Requesting publication of SIR after Examiner action		
115 110	215 55	Extension for reply within first month		
116 390	216 195	Extension for reply within second month		
117 890	217 445	Extension for reply within third month		
118 1,390	218 695	Extension for reply within fourth month		
128 1,890	228 945	Extension for reply within fifth month		
119 310	219 155	Notice of Appeal		
120 310	220 155	Filing a brief in support of an appeal		
121 270	221 135	Request for oral hearing		
138 1,510	138 1,510	Petition to institute a public use proceeding		
140 110	240 55	Petition to revive - unavoidable		
141 1,240	241 620	Petition to revive - unintentional		
142 1,240	242 620	Utility issue fee (or reissue)		
143 440	243 220	Design issue fee		
144 600	244 300	Plant issue fee		
122 130	122 130	Petitions to the Commissioner		
123 50	123 50	Processing fee under 37 CFR 1.17(q)		
126 180	126 180	Submission of Information Disclosure Stmt		
581 40	581 40	Recording each patent assignment per property (times number of properties)		
146 710	246 355	Filing a submission after final rejection (37 CFR § 1.129(a))		
149 710	249 355	For each additional invention to be examined (37 CFR § 1.129(b))		
179 710	279 355	Request for Continued Examination (RCE)		
169 900	169 900	Request for expedited examination of a design application		

Other fee (specify)

\*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$ )

**SUBMITTED BY****Complete (if applicable)**

Name (Print/Type)	Mark E. Rose	Registration No. (Attorney/Agent)	42,113	Telephone	610-282-6547
Signature	Mark E. Rose	Date			

**WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.**

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.